

RFP-10-15
SECTION ONE
GENERAL INFORMATION AND REQUESTED PRODUCTS/SERVICES

1.1 INTRODUCTION

In accordance with Indiana statute, including IC 5-22-9, the Indiana Department of Administration (IDOA), acting on behalf of the Indiana Criminal Justice Institute (ICJI), is seeking to improve its current victim compensation process and the technology used to support that process. This proposal is to include the application software, implementation, and training. It is the intent of IDOA to solicit responses to this Request for Proposals (RFP) in accordance with the proposal preparation section and specifications contained in this document. This RFP is being posted to the IDOA website (<http://www.IN.gov/idoa/proc>) for downloading. A nominal fee will be charged for providing hard copies. Neither this RFP nor any response (proposal) submitted hereto are to be construed as a legal offer.

1.2 DEFINITIONS AND ABBREVIATIONS

Following are explanations of terms and abbreviations appearing throughout this RFP. Other special terms may be used in the RFP, but they are more localized and defined where they appear, rather than in the following list.

IAC	The Indiana Administrative Code
IC	The Indiana Code
Implementation	The successful implementation of a web-based relational database with full functionality as described in this request for proposal and support from the Indiana Office of Technology as specified in the contract resulting from this RFP.
Installation	The delivery and physical setup of products or services requested in this RFP.
Other Governmental Body	An agency, a board, a branch, a bureau, a commission, a council, a department, an institution, an office, or another establishment of any of the following: (1) The judicial branch. (2) The legislative branch. (3) A political subdivision (includes towns, cities, local governments, etc.) (4) A state educational institution (including charter schools)
Products	Tangible goods or manufactured items as specified in this RFP.
Proposal	An offer as defined in IC 5-22-2-17.

Respondent	An offeror as defined in IC 5-22-2-18. The State will not consider a proposal responsive if two or more offerors submit a joint or combined proposal. One entity or individual must be clearly identified as the Respondent who will be ultimately responsible for performance of the contract.
Services	Work to be performed as specified in this RFP.
End User	ICJI customers who will have access to view system elements and ICJI staff required to monitor and run reports.
IOT Support Staff	Those IOT employees who will be responsible for the management and support of the new victims compensation system.
DSO	Data Service Order – currently used for State Agencies to order technician services and data products.
SOF	Service Order Form – currently used for State Agencies to order monthly services and one-time purchases.
State	The State of Indiana
State Agency	As defined in IC 4-13-1, “state agency” means an authority, board, branch, commission, committee, department, division, or other instrumentality of the executive, including the administrative, department of state government.
Vendor	Any successful Respondent selected as a result of the procurement process to deliver the products or services requested by this RFP.
PeopleSoft	The application managed by the State of Indiana for Financial and Human Resource tracking.
Encompass	The financial accounting module in PeopleSoft

1.3 PURPOSE OF THE RFP

The purpose of this RFP is to select a single vendor that can satisfy ICJI’s need for a new Victim Compensation Claim (VCC) system application, and the implementation and training of that application. This system will be used to manage all of ICJI’s victim compensation monitoring tracking and payment of claims to victims and service providers working with victims of crime. It is the intent of the Indiana Criminal Justice Institute (ICJI) to contract with a vendor that provides a single victim compensation claim system application, implementation, and training for ICJI victim compensation staff.

1.4 SUMMARY SCOPE OF WORK

The Indiana Criminal Justice Institute desires to enhance its VCC process by identifying technology solutions that will support its redefined business processes and promote information sharing, efficient claims processing, and customer service. Today, ICJI's victim compensation technology is a patchwork of components consisting of an Access 97 database that is performing inconsistently; an Excel spreadsheet that is limited in terms of reporting, tracking and multi-user functionality; and processes that require much manual data entry and documentation. The new system will replace existing system components except those components replaced in the phase one portion of this project -currently in progress by Sterling Creek company.

ICJI is looking to enhance their ability to better compensate victims by more efficiently and effectively processing and tracking claims. This section identifies needed system requirements for a software system that will support ICJI's business functions and achieve the following goals:

- Improve efficiency of processing claims,
- Improve data quality and usability,
- Improve the accuracy and timeliness of reporting,
- Enhance data gathering and sharing; and
- Provide remote system and data access to external stakeholders, such as victims' advocates and service providers.
- Provide routine performance measures and auditing functions.

Implementation Considerations

The Victim Compensation Claims system implementation will be performed in phases and has standard activities that are required to be performed. Depending on the methodology of the implementer, the phase names and activities may differ, but the following provides a general overview of what can be expected.

Phases

The following is the list of standard phases in a software implementation.

- **Define:** Defining what the system is supposed to do. Requirements are gathered to determine how the system must function in order to support the business process. The categories of requirements include but are not limited to data entry/maintenance, reporting, administration, security, system response time, data volume, and data conversion. This phase results in a deliverable stating all gathered requirements for the system.
- **Design:** Designing what the system is supposed to look like. Based upon the requirements established in the Define phase, a logical and technical design is developed to indicate how the system will function. Upon completion of the Design phase, a prototype of the system should exist to present the basic "look and feel" of the system.
- **Develop and Test:** Developing and testing the system. Based upon the design and prototype established in the Design phase, the actual system is developed and tested to

ensure that all requirements have been fulfilled and the system is functioning properly. Depending upon the implementer, development of the system may occur off-site until it is ready for installation at ICJI. Prior to installation, a critical step in any implementation is the handoff and formal acceptance from the development team to the user base. This is typically referred to as User Acceptance Testing (UAT). This is the point where the users of the system acknowledge that the new system was constructed and meets the requirements.

- **Implement and Train:** Preparation for use of the system. The system is moved to the production environment and users are trained on the functionality before use. There is typically a warranty period where the vendor will address defects.

The new VCC system is to be custom-developed; it can be designed to meet all of ICJI requirements except the document management and workflow requirements. The system nevertheless would offer the following:

- The ability for internal and external users to submit applications/claims via the Internet;
- The ability to process cases to approval/denial with the assistance of system alerts, data validation, case checklists;
- The ability for external users to check case status;
- The ability to system-generate letters;
- The ability to process payments and payment summaries;
- The ability to integrate with external systems;
- The ability to manage the fund balance; and
- The ability to report on all information in the system.

1.5 RFP OUTLINE

The outline of this RFP document is described below:

Section	Description
Section 1 – General Information and Requested Products or Services	This section provides an overview of the RFP, general timelines for the process, and a summary of the products/services being solicited by the State/Agency via this RFP
Section 2 – Proposal Preparation Instruction	This section provides instructions on the format and content of the RFP including a Letter of Transmittal, Business Proposal, Technical Proposal, and a Cost Proposal
Section 3 – Proposal Evaluation Criteria	This sections discusses the evaluation criteria to be used to evaluate respondents' proposals
Attachment A	M/WBE Participation Plan Form

Attachment B	Sample Contract
Attachment C	Indiana Economic Impact Form
Attachment D	Assistive Technology Compliance Form

1.6 QUESTION/INQUIRY PROCESS

All questions/inquiries regarding this RFP must be submitted in writing by the deadline of **3:00 p.m. Eastern Time on October 23, 2009**. Questions/Inquiries may be submitted via fax (**317-234-1281**) or email rfp@idoa.IN.gov and must be received by Procurement Division by the time and date indicated above.

Following the question/inquiry due date, Procurement Division personnel will compile a list of the questions/inquiries submitted by all Respondents. The responses will be posted to the IDOA website according to the RFP timetable established in Section 1.23. The question/inquiry and answer link will become active after responses to all questions have been compiled. Only answers posted on the IDOA website will be considered official and valid by the State. No Respondent shall rely upon, take any action, or make any decision based upon any verbal communication with any State employee.

Inquiries are not to be directed to any staff member of the Indiana Criminal Justice Institute (ICJI). Such action may disqualify Respondent from further consideration for a contract resulting from this RFP.

If it becomes necessary to revise any part of this RFP, or if additional information is necessary for a clearer interpretation of provisions of this RFP prior to the due date for proposals, an addendum will be posted on the IDOA website. If such addenda issuance is necessary, the Procurement Division may extend the due date and time of proposals to accommodate such additional information requirements, if required.

1.7 DUE DATE FOR PROPOSALS

All proposals must be received at the address below by the Procurement Division no later than **3:00 p.m. Eastern Time on November 12, 2009**. Each Respondent must submit **one original hard-copy** (marked "Original") and **one original CD-ROM (marked "Original") and six (6) complete copies on CD-ROM of the proposal**, including the Transmittal Letter and other related documentation as required in this RFP. The **original** CD-ROM will be considered the official response in evaluating responses for scoring and protest resolution. **The respondent's proposal response on this CD may be posted on the IDOA website, (<http://www.in.gov/idoa/2462.htm>) if recommended for selection.** Each copy of the proposal must follow the format indicated in Section Two of this document. Unnecessarily elaborate brochures or other presentations, beyond those necessary to present a complete and effective proposal, are not desired. All proposals must be addressed to:

James Osborne
Indiana Department of Administration
Procurement Division
402 West Washington Street, Room W478
Indianapolis, IN 46204

If you hand-deliver solicitation responses:

To facilitate weapons restrictions at Indiana Government Center North and Indiana Government Center South, as of **July 21, 2008**, the public must enter IGC buildings through a designated public entrance. The public entrance to Indiana Government Center South is located at 302 W. Washington St. (the eastern-most Washington St. entrance). This entrance will be equipped with metal detectors and screening devices monitored by Indiana State Police Capitol Police.

Passing through the public entrance may take some time. Please be sure to take this information into consideration if your company plans to submit a solicitation response in person.

If you ship or mail solicitation responses: United States Postal Express and Certified Mail are both delivered to the Government Center Central Mailroom, and not directly to the Procurement Division. It is the responsibility of the Respondent to make sure that solicitation responses are received by the Procurement Division at the Department of Administration's reception desk on or before the designated time and date. Late submissions will not be accepted. The Department of Administration, Procurement Division clock is the official time for all solicitation submissions.

All proposal packages must be clearly marked with the RFP number, due date, and time due. Any proposal received by the Department of Administration, Procurement Division after the due date and time will not be considered. Any late proposals will be returned, unopened, to the Respondent upon request. All rejected proposals not claimed within 30 days of the proposal due date will be destroyed.

No more than one proposal per Respondent may be submitted.

The State accepts no obligations for costs incurred by Respondents in anticipation of being awarded a contract.

All proposals submitted to the State should be double-sided and printed on 30% post-consumer recycled content paper or tree-free paper. When possible, soy ink should be used.

1.8 PRE-PROPOSAL CONFERENCE

A pre-proposal conference will be held on **October 22, 2009 from 10:00 a.m. – noon ET in the IGC South Conference Center, Room 19, 402 West Washington Street, Indianapolis, Indiana 46204**. At this conference, potential respondents may ask questions about the RFP and the RFP process. Respondents are reminded that no answers issued verbally at the conference are binding on the State and any information provided at the conference, unless it is later issued in

writing, also is not binding on the State.

1.9 MODIFICATION OR WITHDRAWAL OF OFFERS

Modifications to responses to this RFP may only be made in the manner and format described in Section 1.6 and clearly identified as a modification.

The Respondent's authorized representative may withdraw the proposal, in person, prior to the due date. Proper documentation and identification will be required before the Procurement Division will release the withdrawn proposal. The authorized representative will be required to sign a receipt for the withdrawn proposal.

Modification to, or withdrawal of, a proposal received by the Procurement Division after the exact hour and date specified for receipt of proposals will not be considered

1.10 PRICING

Pricing on this RFP must be firm and remain open for a period of not less than 180 days from the proposal due date.

Please refer to the Cost Proposal sub-section under Section 2 for a detailed discussion of the proposal pricing format and requirements.

1.11 PROPOSAL CLARIFICATIONS AND DISCUSSIONS, AND CONTRACT DISCUSSIONS

The State reserves the right to request clarifications on proposals submitted to the State. The State also reserves the right to conduct proposal discussions, either oral or written, with Respondents. These discussions could include request for additional information, request for cost or technical proposal revision, etc. Additionally, in conducting discussions, the State may use information derived from proposals submitted by competing respondents only if the identity of the respondent providing the information is not disclosed to others. The State will provide equivalent information to all respondents which have been chosen for discussions. Discussions, along with negotiations with responsible respondents may be conducted for any appropriate purpose.

The Procurement Division will schedule all discussions. Any information gathered through oral discussions must be confirmed in writing.

A sample contract is provided in Attachment B. Any requested changes to the sample contract must be submitted with your response (See Section 2.3.5 for details). The State reserves the right to reject any of these requested changes. It is the State's expectation that any material elements of the contract will be substantially finalized prior to contract award.

1.12 BEST AND FINAL OFFER

The State may request best and final offers from those Respondents determined by the State to be reasonably viable for contract award. However, the State reserves the right to award a contract on the basis of initial proposals received. Therefore, each proposal should contain the Respondent's best terms from a price and technical standpoint.

Following evaluation of the best and final offers, the State may select for final contract negotiations/execution the offers that are most advantageous to the State, considering cost and the evaluation criteria in this RFP.

1.13 REFERENCE SITE VISITS

The State may request a site visit to a Respondent's working support center to aid in the evaluation of the Respondent's proposal. Site visits, if required will be discussed in the technical proposal.

1.14 TYPE AND TERM OF CONTRACT

The State intends to sign a contract with one Respondent to fulfill the requirements in this RFP.

The term of the contract shall be for a period of four (4) years from the date of contract execution.

1.15 CONFIDENTIAL INFORMATION

Respondents are advised that materials contained in proposals are subject to the Access to Public Records Act (APRA), IC 5-14-3 *et seq.*, and, after the contract award, the entire RFP file may be viewed and copied by any member of the public, including news agencies and competitors. Respondents claiming a statutory exception to the APRA must place all confidential documents (including the requisite number of copies) in a sealed envelope clearly marked "Confidential" and must indicate in the Transmittal Letter and on the outside of that envelope that confidential materials are included. The Respondent must also specify which statutory exception of APRA that applies. The State reserves the right to make determinations of confidentiality. If the Respondent does not identify the statutory exception, the Procurement Division will not consider the submission confidential. If the State does not agree that the information designated is confidential under one of the disclosure exceptions to APRA, it may seek the opinion of the Public Access Counselor. Prices are not confidential information.

1.16 TAXES

Proposals should not include any tax from which the State is exempt.

1.17 PROCUREMENT DIVISION REGISTRATION

In order to receive an award, you must be registered as a bidder with the Department of Administration, Procurement Division. Therefore, to ensure there is no delay in the award all Respondents are strongly encouraged to register prior to submission of their response. Respondents should go to www.in.gov/idoa/2464.htm .

1.18 SECRETARY OF STATE REGISTRATION

If awarded the contract, the Respondent will be required to register, and be in good standing, with the Secretary of State. The registration requirement is applicable to all limited liability partnerships, limited partnerships, corporations, S-corporations, nonprofit corporations and limited liability companies. Information concerning registration with the Secretary of State may be obtained by contacting:

Secretary of State of Indiana
Corporation Division
402 West Washington Street, E018
Indianapolis, IN 46204
(317) 232-6576
www.in.gov/sos

1.19 COMPLIANCE CERTIFICATION

Responses to this RFP serve as a representation that it has no current or outstanding criminal, civil, or enforcement actions initiated by the State, and it agrees that it will immediately notify the State of any such actions. The Respondent also certifies that neither it nor its principals are presently in arrears in payment of its taxes, permit fees or other statutory, regulatory or judicially required payments to the State. The Respondent agrees that the State may confirm, at any time, that no such liabilities exist, and, if such liabilities are discovered, that State may bar the Respondent from contracting with the State, cancel existing contracts, withhold payments to setoff such obligations, and withhold further payments or purchases until the entity is current in its payments on its liability to the State and has submitted proof of such payment to the State.

1.20 EQUAL OPPORTUNITY COMMITMENT

Pursuant to IC 4-13-16.5 and in accordance with 25 IAC 5, it has been determined that there is a reasonable expectation of minority and woman business enterprises subcontracting opportunities on a contract awarded under this RFP. Therefore a contract goal of 8% for Minority Business Enterprises and 8% for Woman Business Enterprises have been established and all respondents will be expected to comply with the regulation set forth in 25 IAC 5.

Failure to meet these requirements will affect the evaluation of your proposal.

1.21 MINORITY & WOMEN'S BUSINESS ENTERPRISES RFP SUBCONTRACTOR COMMITMENT

In accordance with 25 IAC 5-5, the respondent is expected to submit with its proposal a MWBE Subcontractor Commitment Form. The Form must show that there are, participating in the proposed contract, Minority Business Enterprises (MBE) and Women Business Enterprises (WBE) listed in the Minority and Women's Business Enterprises Division (MWBED) directory of certified firms located at <http://www.in.gov/idoa/2352.htm>. If participation is met through use of vendors who supply products and/or services directly to the Respondent, the Respondent must provide a description of products and/or services provided that are directly related to this proposal and the cost of direct supplies for this proposal. Respondents must complete the Subcontractor Commitment Form in its entirety.

Failure to meet these goals will affect the evaluation of your Proposal. The Department reserves the right to verify all information included on the MWBE Subcontractor Commitment Form.

Respondents are encouraged to contact and work with MWBED at 317-232-3061 to design a subcontractor commitment to meet established goals as referenced in this solicitation.

Prime Contractors must ensure that the proposed subcontractors meet the following criteria:

- Must be listed on the IDOA Directory of Certified Firms
- Each firm may only serve as once classification – MBE or WBE
- A Prime Contractor who is an MBE or WBE must meet subcontractor goals by using other listed certified firms. Certified Prime Contractors cannot count their own workforce or companies to meet this requirement.
- Must serve a commercially useful function. The firm must serve a value-added purpose on the engagement.
- Must provide goods or service only in the industry area for which it is certified as listed in the directory at <http://www.in.gov/idoa/2352.htm>
- Must be used to provide the goods or services specific to the contract
- National Corporate Diversity Plans are generally not acceptable

MINORITY & WOMEN'S BUSINESS ENTERPRISES RFP SUBCONTRACTOR LETTER OF COMMITMENT

A signed letter(s), on company letterhead, from the MBE and/or WBE must accompany the MWBE Subcontractor Commitment Form. Each letter shall state and will serve as acknowledgement from the MBE and/or WBE of its subcontract amount, a description of products and/or services to be provided on this project and approximate date the subcontractor will perform work on this contract. The State will deny evaluation points if the letter(s) is not attached, not on company letterhead, not signed and/or does not reference and match the subcontract amount and the anticipated period that the Subcontractor will perform work for this solicitation.

By submission of the Proposal, the Respondent acknowledges and agrees to be bound by the regulatory processes involving the State's M/WBE Program. Questions involving the regulations governing the MWBE Subcontractor Commitment Form should be directed to: Minority and Women's Business Enterprises Division at (317) 232-3061 or mwbe@idoa.in.gov.

1.22 AMERICANS WITH DISABILITIES ACT

The Respondent specifically agrees to comply with the provisions of the Americans with Disabilities Act of 1990 (42 U.S.C. 12101 *et seq.* and 47 U.S.C. 225).

1.23 SUMMARY OF MILESTONES

The following timeline is only an illustration of the RFP process. The dates associated with each step are not to be considered binding. Due to the unpredictable nature of the evaluation period, these dates are commonly subject to change. At the conclusion of the evaluation process, all Respondents will be informed of the evaluation team's findings.

Key RFP Dates:

Activity	Date
Issue of RFP	October 7, 2009
Pre-Proposal Conference	October 22, 2009
Deadline to Submit Written Questions	October 23, 2009
Response to Written Questions/RFP Amendments	October 30, 2009
Submission of Proposals	November 12, 2009
<i>The dates for the following activities are target dates only. These activities may be completed earlier or later than the date shown.</i>	
Proposal Evaluation	November 13-30, 2009
Proposal Discussions/Clarifications (if necessary)	TBD
Oral Presentations (if necessary)	TBD
Best and Final Offers (if necessary)	TBD
Contract Award	1/1/2010

SECTION TWO PROPOSAL PREPARATION INSTRUCTIONS

2.1 GENERAL

To facilitate the timely evaluation of proposals, a standard format for proposal submission has been developed and is described in this section. All Respondents are required to format their proposals in a manner consistent with the guidelines described below:

- Each item must be addressed in the Respondent's proposal.
- The Transmittal Letter must be in the form of a letter. The business and technical proposals must be organized under the specific section titles as listed below

2.2 TRANSMITTAL LETTER

The Transmittal Letter must address the following topics except those specifically identified as "optional."

2.2.1 Agreement with Requirement as Listed in Section 1

The Respondent must explicitly acknowledge understanding of the general information presented in Section 1 and agreement with any requirements/conditions listed in Section 1.

2.2.2 Summary of Ability and Desire to Supply the Required Products or Services

The Transmittal Letter must briefly summarize the Respondent's ability to supply the requested products and/or services that meet the requirements defined in Section Three of this RFP. The letter must also contain a statement indicating the Respondent's willingness to provide the requested products and/or services subject to the terms and conditions set forth in the RFP including, but not limited to, the State's mandatory contract clauses.

2.2.3 Signature of Authorized Representative

A person authorized to commit the Respondent to its representations and who can certify that the information offered in the proposal meets all general conditions including the information requested in Section 2.3.4, must sign the Transmittal Letter. **In the Transmittal Letter, please indicate the principal contact for the proposal along with an address, telephone and fax number as well as an e-mail address, if that contact is different than the individual authorized for signature.**

2.2.4 Respondent Notification

Unless otherwise indicated in the Transmittal Letter, Respondents will be notified via e-mail.

It is the Respondent's obligation to notify the Procurement Division of any changes in any address that may have occurred since the origination of this solicitation. The Procurement Division will not be held responsible for incorrect vendor/contractor addresses.

2.2.5 Other Information

This item is optional. Any other information the Respondent may wish to briefly summarize will be acceptable.

2.3 BUSINESS PROPOSAL

The Business Proposal must address the following topics except those specifically identified as "optional."

2.3.1 General (optional)

This section of the business proposal may be used to introduce or summarize any information the Respondent deems relevant or important to the State's successful acquisition of the products and/or services requested in this RFP.

2.3.2 Respondent's Company Structure

The legal form of the Respondent's business organization, the state in which formed (accompanied by a certificate of authority), the types of business ventures in which the organization is involved, and a chart of the organization are to be included in this section. If the organization includes more than one product division, the division responsible for the development and marketing of the requested products and/or services in the United States must be described in more detail than other components of the organization.

2.3.3 Company Financial Information

This section must include the Respondent's financial statement, including an income statement and balance sheet, for each of the two most recently completed fiscal years. The financial statements must demonstrate the Respondent's financial stability. If the financial statements being provided by the Respondent are those of a parent or holding company, additional financial information should be provided for the entity/organization directly responding to this RFP

2.3.4 Integrity of Company Structure and Financial Reporting

This section must include a statement indicating that the CEO and/or CFO has taken personal responsibility for the thoroughness and correctness of any/all financial information supplied with this proposal. The particular areas of interest to the State in considering corporate responsibility include the following items: separation of audit functions from corporate boards and board members, if any, the manner in which the organization assures board integrity, and the separation of audit functions and consulting services. The State will consider the information offered in this section to determine the responsibility of the Respondent under IC 5-22-16-1(d).

The Sarbanes Oxley Act of 2002, H.R. 3763, is NOT directly applicable to this procurement; however, its goals and objectives may be used as a guide in the determination of corporate responsibility for financial reports.

2.3.5 Contract Terms/Clauses

A sample contract that the state expects to execute with the successful Respondent(s) is provided in Attachment B. This contract contains both mandatory and non-mandatory clauses. Mandatory clauses are listed below and are non-negotiable. Other clauses are highly desirable. It is the State's expectation that the final contract will be substantially similar to the sample contract provided in Attachment B.

In your Transmittal Letter please indicate acceptance of these mandatory contract terms (see section 2.2.2). In this section please review the rest of the contract and indicate your acceptance of the non-mandatory contract clauses. If a non-mandatory clause is not acceptable as worded, suggest specific alternative wording to address issues raised by the specific clause. If you require additional contract terms please include them in this section. To reiterate it's the State's strong desire to not deviate from the contract provided in the attachment and as such the State reserves the right to reject any and all of these requested changes.

The mandatory contract terms are as follows:

- Authority to Bind Contractor
- Duties of Contractor, Rate of Pay, and Term of Contract
- Compliance with Laws
- Drug-free Workplace Provision and Certification
- Funding Cancellation
- Indemnification
- Governing Laws
- Non-discrimination clause
- Payments
- Penalties/Interest/Attorney's Fees

- Non-collusion and Acceptance
- Information Technology

Any or all portions of this RFP and any or all portions of the Respondents response may be incorporated as part of the final contract

2.3.6 References

The Respondent must include a list of at least five (5) clients for whom the Respondent has provided products and services that are the same or similar to those products and services requested in this RFP. References for any other state government and other governments should be included. References in or close to the Indianapolis area will be helpful in the event that a site visit is necessary. Information provided must include the client organization (name and address), the contact person (name, title, phone number and email address), and the products and services that were provided.

2.3.7 Registration to do Business

Secretary of State

If awarded the contract, the Respondent will be required to be registered, and be in good standing, with the Secretary of State. The registration requirement is applicable to all limited liability partnerships, limited partnerships, corporations, S-corporations, nonprofit corporations and limited liability companies. The Respondent must indicate the status of registration, if applicable, in this section of the proposal.

Department of Administration, Procurement Division

Additionally, respondents must be registered with the IDOA. This can be accomplished on-line at <http://www.in.gov/idoa/2464.htm> .

The IDOA Procurement Division maintains two databases of vendor information. The Bidder registration database is set up for vendors to register if you are interested in selling a product or service to the State of Indiana. Respondents may register on-line at no cost to become a Bidder with the State of Indiana. To complete the on-line Bidder registration, go to <http://www.in.gov/idoa/2464.htm>. The Bidder registration offers email notification of upcoming solicitation opportunities, corresponding to the Bidder's area(s) of interest, selected during the registration process. Respondents do need to be registered to bid on and receive email notifications. Completion of the Bidder registration will result in your name being added to the Bidder's Database, for email notification. The Bidder registration requires some general business information, an indication of the types of goods and services you can offer the State of Indiana, and locations(s) within the state that you can supply or service. There is no fee to be placed in

Procurement Division's Bidder Database. To receive an award, you must be registered as a bidder.

Problems or questions concerning the registration process or the registration form can be e-mailed to Amey Redding, Vendor Registration Coordinator, aredding@idoa.in.gov, or you may reach her by phone at (317) 234-3542.

2.3.8 Authorizing Document

Respondent personnel signing the Transmittal Letter of the proposal must be legally authorized by the organization to commit the organization contractually. This section shall contain proof of such authority. A copy of corporate bylaws or a corporate resolution adopted by the board of directors indicating this authority will fulfill this requirement.

2.3.9 Subcontractors

The Respondent is responsible for the performance of any obligations that may result from this RFP, and shall not be relieved by the non-performance of any subcontractor. Any Respondent's proposal must identify all subcontractors and describe the contractual relationship between the Respondent and each subcontractor. Either a copy of the executed subcontract or a letter of agreement over the official signature of the firms involved must accompany each proposal.

Any subcontracts entered into by the Respondent must be in compliance with all State statutes, and will be subject to the provisions thereof. For each portion of the proposed products or services to be provided by a subcontractor, the technical proposal must include the identification of the functions to be provided by the subcontractor and the subcontractor's related qualifications and experience.

The combined qualifications and experience of the Respondent and any or all subcontractors will be considered in the State's evaluation. The Respondent must furnish information to the State as to the amount of the subcontract, the qualifications of the subcontractor for guaranteeing performance, and any other data that may be required by the State. All subcontracts held by the Respondent must be made available upon request for inspection and examination by appropriate State officials, and such relationships must meet with the approval of the State.

The Respondent must list any subcontractor's name, address and the state in which formed that are proposed to be used in providing the required products or services. The subcontractor's responsibilities under the proposal, anticipated dollar amount for subcontract, the subcontractor's form of organization, and an indication from the subcontractor of a willingness to carry out these responsibilities are to be included for each subcontractor. This assurance in no way relieves the Respondent of any responsibilities in responding to this RFP or

in completing the commitments documented in the proposal. The Respondent must indicate which, if any, subcontractors qualify as a Minority or Women Owned Business under IC 4-13-16.5-1. See Section 1.21 and Attachment A for Minority and Women Business information.

2.4 TECHNICAL PROPOSAL

The Technical Proposal must be divided into the sections as described below. Every point made in each section must be addressed in the order given. The same outline numbers must be used in the response. RFP language should not be repeated within the response. Where appropriate, supporting documentation may be referenced by a page and paragraph number. However, when this is done, the body of the technical proposal must contain a meaningful summary of the referenced material. The referenced document must be included as an appendix to the technical proposal with referenced sections clearly marked. If there are multiple references or multiple documents, these must be listed and organized for ease of use by the State.

- 2.4.1 Identify all software products being proposed (the “proposed software”) including the release. Explain if this is not the current commercially available release.
- 2.4.2 Describe the database design and processing functionality of the proposed system, specifically verifying and validating the following functional items:

Functional Requirements

The functional requirements in the following table have been grouped by the core components displayed in the conceptual system model for the Victim Compensation Claims process. In addition to defining the requirement, an indication as to whether the requirement is a “Must Have” or “Nice to Have” has been provided. A “Must Have” requirement must be present in a new system. A “Nice to Have” requirement is a feature that ICJI would like to have, but could function without, if necessary.

	Must Have	Nice to Have
1. Case Management		
Application Entry		
1.1. Ability for an external user (victim, provider, etc.) to fill out an application via the Internet.	X	
1.2. Ability to vary the application based upon the type of crime/fund – sex or violent.	X	
1.3. Ability to capture all required data on the application.	X	
1.4. Ability to make the application dynamic based upon answers to previous questions. For example, if the birth date entered on a sex crime application indicates that the victim is a minor, the question must be asked whether the police and/or Child Protective Services has been contacted.	X	
1.5. Ability to require a description when “Other” is selected as the answer to a question.	X	
1.6. Ability to flag a victim as a minor based upon the birth date entered.	X	
1.7. Ability to capture an email address for the applicant to which correspondence and updates can be sent.	X	
1.8. Ability to enter free-form notes regarding the application.	X	
1.9. Ability to capture who is filing the claim (e.g. victim, victims advocate, provider, etc.)	X	
1.10. Ability to obtain acceptance by the applicant to specific terms and conditions related to the application process.	X	
1.11. Ability to accept electronic signatures.		X
1.12. Ability for an external user to submit an application via the Internet.	X	
1.13. Ability to save an unfinished application without submitting it via the Internet.	X	
1.14. Ability to cancel an application that has not been submitted via the Internet.	X	
1.15. Ability to restrict the submission of an application via the Internet if all required data fields have not been completed.	X	
1.16. Ability to automatically assign a case number to the application upon submission.	X	
1.17. Ability to immediately acknowledge the successful submission of the application via the Internet.	X	

	Must Have	Nice to Have
1.18. Ability to generate and send an email to the applicant to confirm submission and indicate assigned case number.	X	
1.19. Ability for internal ICJI users to manually enter an application submitted via mail, fax, or hand-delivery.	X	
1.20. Ability to capture the method in which an application was submitted (e.g. online, mail, fax, or hand-delivery).	X	
1.21. Ability to export an application to a printer-friendly version.	X	
1.22. Ability to automatically check specific eligibility criteria at the time application is submitted (e.g. did the crime occur in Indiana?).	X	
1.23. Ability to flag applications that do not meet eligibility criteria.	X	
1.24. Ability to maintain the eligibility criteria.	X	
Bill Entry		
1.25. Ability for internal and external users to enter bills associated with an application at any time; not just at the time the application is submitted.	X	
1.26. Ability to enter notes regarding entered bills.	X	
1.27. Ability to check for duplicate bills in the system and provide alert.	X	
1.28. Ability to check for duplicate bill line item in the system and provide alert.	X	
1.29. Ability to capture the status of a specific bill (e.g. in-process, approved, denied, etc.)	X	
1.30. Ability to pre-define eligible diagnosis and procedure codes for bills based upon the type of crime.	X	
1.31. Ability to update pre-defined diagnosis and procedure codes at any time.	X	
1.32. Ability for the system to automatically check and flag bills containing ineligible diagnosis and procedure codes.	X	
1.33. Ability to waive a bill flagged by the system as ineligible and capture an explanation.	X	
1.34. Ability to integrate with a defined external system to synchronize diagnosis and procedure codes.		X
Case Review and Investigation		
1.35. Ability to assign applications to a specific ICJI user automatically based upon business logic.	X	
1.36. Ability to modify assignment business logic.	X	
1.37. Ability to assign applications to a specific ICJI user manually.	X	
1.38. Ability to queue applications in an "Inbox".	X	
1.39. Ability to view a case electronically.	X	
1.40. Ability to maintain to-do list and checklist of action items by case.	X	
1.41. Ability to capture the status of an application (e.g. in-process, approved, denied, awaiting payment, etc.).	X	

	Must Have	Nice to Have
1.42. Ability to link a sex crime application to a violent crime application when both apply to the same incident.	X	
1.43. Ability to waive an ineligible application and continue processing.	X	
1.44. Ability for internal ICJI users to modify application information once submitted.	X	
1.45. Ability to track updates to application information.	X	
1.46. Ability for applicants to update their own address via the Internet.	X	
1.47. Ability to track the address from original application and the most recent address change.	X	
1.48. Ability to track investigation of a case (e.g. cooperation, other funding sources, etc.).	X	
1.49. Ability for external and internal users to submit additional case documents via Internet after initial application has been submitted.	X	
1.50. Ability to store documents received electronically and associate with the corresponding case.	X	
1.51. Ability to scan and store electronic copy of paper documents. Examples: <ul style="list-style-type: none"> ▪ Application ▪ Medical bills ▪ Driver's license ▪ Police Report ▪ Probable Cause Affidavit ▪ Copy of insurance card 		X
1.52. Ability to protect documents with appropriate security.	X	
1.53. Ability to protect certain data in documents, i.e. SSN, with appropriate security.	X	
1.54. Ability to permit viewing documents and/or data fields in documents in the system to users with appropriate security.	X	
1.55. Ability to interface with Social Security Administration to verify victim's social security number.		X
1.56. Ability to approve/deny/pending an application.	X	
1.57. Ability to capture user that approved/denied an application.	X	
1.58. Ability to indicate approval/denial for a bill by line item.	X	
1.59. Ability to capture user that approved/denied a bill.	X	
1.60. Ability to prevent the approval of an application based upon pre-defined business rules.	X	
1.61. Ability to modify application approval rules without the help of technical support.	X	
1.62. Ability to prevent bill approval based upon pre-defined business rules.	X	
1.63. Ability to modify bill approval rules without the help of technical support.	X	
1.64. Ability to approve a case that was previously denied, and vice versa.	X	

	Must Have	Nice to Have
1.65. Ability to establish workflow for a defined chain of approvals.	X	
1.66. Ability to modify the approval workflow without the help of technical support	X	
1.67. Ability to close a case.	X	
1.68. Ability to reopen a previously closed case.	X	
1.69. Ability to route a case to another user.	X	
1.70. Ability to log and display the approval history.	X	
1.71. Ability to track cases undergoing appeal.	X	
1.72. Ability for applicants to see the status of a submitted application via the Internet.	X	
1.73. Ability for applicants to see the status of a submitted bill via the Internet.	X	
1.74. Ability to search for a case by the following: case number, victim's SSN, victim's date of birth, crime date, analyst name.	X	
Alerts / Notifications		
1.75. Ability to generate an email to the applicant when status changes (e.g. approved, denied etc.).	X	
1.76. Ability to generate reminder emails to the applicant.	X	
1.77. Ability to create pre-defined letter templates without the help of technical support.	X	
1.78. Ability to generate follow-up letters using pre-defined templates that can be emailed or printed. Examples: <ul style="list-style-type: none"> ▪ Confirmation of received application ▪ Confirmation of received bill ▪ Notification of application status update (e.g. approved, denied etc.) ▪ Notification of bill status update (e.g. approved, denied etc.) ▪ Request for additional information ▪ Request for police report ▪ Request for prosecutor's letter ▪ Request for Restitution ▪ Application approval letter ▪ Bill approval letter ▪ Denial letter ▪ Notice of duplicate application ▪ Notice of duplicate bill 	X	
1.79. Ability to store electronic copy of any letter sent out.	X	
1.80. Ability to issue a mass communication to a group of external users (e.g. change in process, law, new announcements, etc.).	X	
1.81. Ability to send an alert when an application involves litigation.	X	
1.82. Ability to send an alert when a due date has passed.	X	

	Must Have	Nice to Have
Volume		
1.83. Ability to process approximately 1000 violent crime applications per year.	X	
1.84. Ability to process approximately 100 documents per violent crime application (mostly one-sided, size 8.5 x 11).	X	
1.85. Ability to process approximately 3000 sex crime applications per year.	X	
1.86. Ability to process approximately 100 documents per sex crime application (mostly two-sided, size 8.5 x 11).	X	
2. Payment Management		
2.1. Ability to verify the outstanding balance on a received bill.	X	
2.2. Ability to modify the amount of a payment.	X	
2.3. Ability to generate a payment batch file in predefined format required by the Encompass PeopleSoft system.	X	
2.4. Ability to update payment record with warrant number and payment date from the Encompass PeopleSoft system.	X	
2.5. Ability to automatically create a payment batch based upon pre-determined criteria.	X	
2.6. Ability to modify automatic payment batch criteria without the help of technical support.	X	
2.7. Ability to manually generate a payment batch.	X	
2.8. Ability to verify that enough funds are available before generating a payment batch.	X	
2.9. Ability to prevent payment batch generation when not enough funds available and provide alert.	X	
2.10. Ability to review the payments in a payment batch before finalizing.	X	
2.11. Ability to remove individual payments from a payment batch before finalizing.	X	
2.12. Ability to generate detailed payment statements per payee to accompany payment	X	
2.13. Ability show paid and unpaid items on a payment statement.	X	
2.14. Ability to export payment statements in printer-friendly version to send via mail.	X	
2.15. Ability to export statements in email-friendly version.	X	
2.16. Ability for external users to access payment statements via the Internet.	X	
2.17. Ability to search payments by date range, service provider, victim name, warrant number, etc.	X	
2.18. Ability to issue an emergency payment.	X	
2.19. Ability to cancel a payment batch.	X	
2.20. Ability to cancel an individual payment.	X	

	Must Have	Nice to Have
2.21. Ability to process returned warrants.	X	
2.22. Ability to block vendors from future payments.	X	
2.23. Ability to generate payments daily.	X	
2.24. Ability to automatically synchronize vendor file with the vendor master file in the Encompass PeopleSoft system.	X	
3. Fund Management		
3.1. Ability to maintain the fund balances for violent and sex crime compensation.	X	
3.2. Ability to automatically update the fund balance based upon generated payments.	X	
3.3. Ability to automatically update the fund balance based upon returned warrants.	X	
3.4. Ability to record collected revenue by type (e.g. restitution, donation, overpayment, etc.).	X	
3.5. Ability to automatically update the fund balance based upon collected revenue.	X	
4. Collections		
4.1. Ability to generate restitution requests and orders	X	
4.2. Ability to generate subrogation requests and orders	X	
4.3. Ability to generate punitive damages requests and orders	X	
4.4. Ability to track receipt of funds by case by collection type	X	
4.5. Ability to integrate with the Indiana Supreme Court Judicial Technology and Automation Committee (JTAC) Clerk's Financial system.	X	
5. Reporting / Metrics		
Reports / Queries		
5.1. Ability to generate Federal report data.	X	
5.1.1. Victim Compensation Grant Program State Performance Report		
5.1.2. Crime Victim Compensation State Certification Form		
5.2. Ability to run pre-defined reports / queries.	X	

	Must Have	Nice to Have
5.3. Ability to generate ad-hoc reports / queries based on user-selected criteria. Examples: <ul style="list-style-type: none"> ▪ Cases by crime type ▪ Cases by status ▪ Cases by denial reason ▪ Approved bills that have not been paid ▪ Cases awaiting follow-up ▪ Statistics regarding victim's age, race and gender ▪ Cases involving loss of income and/or loss of support ▪ Cases approaching the maximum award amount ▪ Total amount paid, denied, and pending per provider ▪ Cases by county and amount paid ▪ Cases by appeal reason ▪ Denials by county, and reason ▪ Total amount of pending payments ▪ Fund revenue and expenditures ▪ Number of cases eligible for payment compared with actual number paid ▪ Trend analysis information ▪ Amount paid to actual victims compared with amount paid to providers ▪ Revenue by Type ▪ Number of cases by who filed claim (victim, advocate, etc.) ▪ Payments to non-residents of Indiana 	X	
5.4. Ability to export report data to Microsoft Excel.	X	
5.5. Ability to limit report/data access based upon user permissions.	X	
Performance Metrics		
5.6. Ability to track average claim processing time.	X	
5.7. Ability to track number of claims processed by user.	X	
5.8. Ability to track time from application date to approval/denial.	X	
5.9. Ability to track time from bill receipt to payment/denial.	X	
5.10. Ability to track a specified payment goal against actual total amount paid.	X	
5.11. Ability to track number of users in the system at a time.	X	
5.12. Ability to track revenue collection by type, by county, by defined time period	X	
5.13. Ability to track number of claims submitted by fund type, by ICJI funded victim advocate, by defined time period	X	
6. Administration		
Users		
6.1. Ability for external users to register to use the system via the Internet.	X	
6.2. Ability for ICJI to approve external users before access to use the system is granted.	X	

	Must Have	Nice to Have
6.3. Ability to collect specific user information based upon type of user (e.g. victim, provider, victims' advocate, etc.).	X	
6.4. Ability to capture user's email address.	X	
6.5. Ability to inactivate users in the system.	X	
6.6. Ability to manage user passwords in the system.	X	
6.7. Ability for users to change their own password.	X	
Security		
6.8. Ability to assign system permissions by role.	X	
6.9. Ability to assign add/update/view/delete/search permissions.	X	
6.10. Ability to apply security at system, page, and field level.	X	
Data Field Choices		
6.11. Ability to maintain data field choices (such as denial reasons, crime categories, etc.) without the help of technical support.	X	
Audit Trail		
6.12. Ability to track who made changes and when changes were made.	X	
6.13. Ability to track changes made to pre-defined input fields in the system (i.e. address change, crime category change).	X	
6.14. Ability to track claim approval by user	X	
Publishing Information		
6.15. Ability to publish content to users without help of technical support.	X	
6.16. Ability to publish instructions on using the system.	X	
6.17. Ability to publish frequently asked questions.	X	
6.18. Ability to publish new features available, process changes, etc.	X	
Knowledge Repository		
6.19. Ability to maintain a knowledge repository of case decisions.	X	
6.20. Ability to maintain a knowledge repository of applicable statutes, codes and guidelines	X	
Help		
6.21. Ability to provide page and field-level help.	X	
6.22. Ability to provide a tutorial on how to use the system.	X	
7. Technical Architecture		
7.1. The system must be compliant with government information exchange standards such as Global Justice XML (GJXML) and National Information Exchange Model (NIEM) to allow future data exchange with other agencies.	X	
7.2. The system must be written on an industry supported technology platform (e.g. Java / .NET/ SQL Server/Oracle 10g) and must comply with Indiana Office of Technology (IOT) standards.	X	
7.3. The system must follow industry development best practices.	X	
7.4. The system must provide a consistent user interface.	X	

	Must Have	Nice to Have
7.5. The system must be flexible enough to extend as the business processes change.	X	
7.6. The system must store information in a consistent database structure and ensure referential integrity.	X	
7.7. The system must provide data-entry validation, where possible.	X	
7.8. The system must be easily supported by ICJI with little help from technical support.	X	
7.9. The system must support foreign language translation (for Spanish) on all external data entry and inquiry screens.		X
7.10. The system must be available twenty-four hours a day, seven days a week.	X	
7.11. A prototype of the designed system must be presented and approved before development of the actual system begins.	X	
8. Data Conversion		
8.1. The data from the Excel spreadsheet must be converted to the new system. Note: As of 8/15/2007, there were approximately 6875 records.	X	
8.2. The data from the Access database must be converted to the new system. Note: As of 8/15/2007, there were approximately 26,345 records.	X	

2.4.2 Describe the complete system documentation that you will provide;

2.4.2.1 The documentation should be customized to support local operational requirement that includes database design, system flow, end user documentation, systems administration, business functional process work flow diagram, end-user procedure documents, and supported data dictionary for composing customize reports. Documentation should be provided both electronically and manually. End user documentation should focus on job related functions, and not traditional “how to use the screen” type of material.

2.4.3 Describe the system hardware requirements of proposed hardware components where applicable;

2.4.3.1 The system must conform to the State of Indiana standards, policies and guidelines as outlined at <http://iot.in.gov/architecture/>. Vendors will need to complete an Assistive Technology Evaluation Form (Attachment D) or, submit your Voluntary Product Accessibility Template (VPAT) if one exists for your company currently.

2.4.3.2 The system must provide accepted performance to support large searches, reports, and concurrent users.

2.4.3.3 The system must allow back up and restore for IOT’s disaster recovery process.

2.4.3.4 The system must run in a shared environment on IOT owned and operated servers;

2.4.3.5 The system must be easily portable between operating systems;

2.4.3.6 Describe the installation and implementation process including the staff resources, hardware and software that the state must provide.

2.4.3.7 Describe any suggested modification to plans that could help IOT reduce cost;

2.4.4 Describe what the state will be required to provide including:

2.4.4.1 The hardware and software environment required to support the proposed software so that the system can produce adequate responses during searches & reports generating;

2.4.4.2 The level and number of state staff needed to support the proposed software;

2.4.4.3 Describe the maintenance processes and procedures including the frequency of updates.

2.4.4.4 Describe warranty information, including initial warranty length and coverage, and costs and coverage for extended/additional warranties;

2.4.4.5 Describe the process for upgrading the application.

2.4.4.6 Describe upgrade policy for new releases and enhancements and how installation and training will be handled and any associated costs;

2.4.4.7 Describe how you will provide effective training for the IOT support staff.

2.4.4.8 Describe the implementation process and time frames associated with each phase of implementation as outlined in 1.4 Summary Scope of Work.

2.4.5 Describe the service/support including:

2.4.5.1 Methods of access to the help desk;

2.4.5.2 Hours that the help desk is available;

2.4.5.3 Service levels provided by the help desk;

2.4.5.4 Escalation process;

2.4.5.5 Any penalties for not meeting the help desk service levels.

2.5 COST PROPOSAL

Respondents must submit a clear total project cost, to be broken down into the following components:

2.5.2 List all one-time costs including:

2.5.2.1 Licenses

2.5.2.2 Installation

2.5.2.3 Professional Services

2.5.3 List all annual recurring costs including:

2.5.3.1 License renewal (if applicable)

2.5.3.2 Maintenance and support (Maintenance charges should be for support and not for Right to Use licensing).

2.5.3.3 Maximum annual increase

2.5.4 Please submit a suggested high-level milestone project plan.

2.6 INDIANA ECONOMIC IMPACT

All companies desiring to do business with state agencies must complete an “Indiana Economic Impact” form (Attachment C). The collection and recognition of the information collected with the Indiana Economic Impact form places a strong emphasis on the economic impact a project will have on Indiana and its residents regardless of where a business is located. The collection of this information does not restrict any company or firm from doing business with the state.

2.7 BUY INDIANA INITIATIVE/INDIANA COMPANY

It is the Respondent’s responsibility to confirm its Buy Indiana status for this portion of the process. If a Respondent has previously registered its business with IDOA, go to <http://www.in.gov/idoa/2464.htm> and click on the link to update this registration. Click the tab titled Buy Indiana. Select the appropriate category for your business. Respondents may only select one category. Certify this selection by clicking the check box next to the certification paragraph. Once this is complete, save your selection and exit your account.

Respondents that have not previously registered with IDOA must go to <http://www.in.gov/idoa/2464.htm> and click on the link to register. During the registration process, follow the steps outlined in the paragraph above to certify your business’ status. The registration process should be complete at the time of proposal submission.

Defining an Indiana Business:

“Indiana business” refers to any of the following:

- (1) A business whose principal place of business is located in Indiana.
- (2) A business that pays a majority of its payroll (in dollar volume) to residents of Indiana.
- (3) A business that employs Indiana residents as a majority of its employees.

Respondents claiming this status must indicate which of the provisions above qualifies them as an Indiana business. They must also fully complete the Indiana Economic Impact Form (Attachment C) and include it with their response.

The following is the policy concerning items 4 & 5 described below. Appropriate documentation must be provided with your proposal response supporting either claim made below:

- (4) A business that makes significant capital investments in Indiana.
- (5) A business that has a substantial positive economic impact on Indiana.

Substantial Capital Investment:

Any company that can demonstrate a minimum capital investment of \$5 million or more in plant and/or equipment or annual lease payments of \$2.5 million or more shall qualify as an Indiana business under category #4. If an out of state company does not meet one of these criteria, it can submit documentation/justification to the State for review for inclusion under this category.

Substantial Indiana Economic Impact:

Any company that is in the top 500 companies (adjusted) for one of the following categories: number of employees (DWD), unemployment taxes (DWD), payroll withholding taxes (DOR), or Corporate Income Taxes (DOR); it shall qualify as an Indiana business under category #5. If a Respondent needs assistance in determining if its business qualifies under this criterion, please send an email inquiry to buyindianainvest@idoa.in.gov and you will receive a response within forty-eight (48) hours. If an out of state company does not meet one of these criteria, it can submit documentation/justification to the State for review for inclusion under this category.

SECTION THREE PROPOSAL EVALUATION

3.1 PROPOSAL EVALUATION PROCEDURE

The State has selected a group of personnel to act as a proposal evaluation team. Subgroups of this team, consisting of one or more team members, will be responsible for evaluating proposals with regard to compliance with RFP requirements. All evaluation personnel will use the evaluation criteria stated in Section 3.2. The Commissioner of IDOA or his designee will, in the exercise of his sole discretion, determine which proposals offer the best means of servicing the interests of the State. The exercise of this discretion will be final.

The procedure for evaluating the proposals against the evaluation criteria will be as follows:

- 3.1.1 Each proposal will be evaluated for adherence to requirements on a pass/fail basis. Proposals that are incomplete or otherwise do not conform to proposal submission requirements may be eliminated from consideration.
- 3.1.2 Each proposal will be evaluated on the basis of the categories included in Section 3.2. A point score has been established for each category.
- 3.1.3 If technical proposals are close to equal, greater weight may be given to price.
- 3.1.4 Based on the results of this evaluation, the qualifying proposal determined to be the most advantageous to the State, taking into account all of the evaluation factors, may be selected by IDOA and ICJI for further action, such as contract negotiations. If, however, IDOA and ICJI decide that no proposal is sufficiently advantageous to the State, the State may take whatever further action is deemed necessary to fulfill its needs. If, for any reason, a proposal is selected and it is not possible to consummate a contract with the Respondent, IDOA may begin contract preparation with the next qualified Respondent or determine that no such alternate proposal exists.

3.2 EVALUATION CRITERIA

Proposals will be evaluated based upon the proven ability of the Respondent to satisfy the requirements of the RFP in a cost-effective manner. Each of the evaluation criteria categories is described below with a brief explanation of the basis for evaluation in that category. The points associated with each category are indicated following the category name (total maximum points = 100). If any one or more of the listed criteria on which the responses to this RFP will be evaluated are found to be inconsistent or incompatible with applicable federal laws, regulations or policies, the specific criterion or criteria will be disregarded and the responses will be evaluated and scored without taking into account such criterion or criteria.

Summary of Evaluation Criteria:

Criteria	Points
1. Adherence to Mandatory Requirements	Pass/Fail
2. Management Assessment/Quality (Business and Technical Proposal)	30 Points
3. Cost (Cost Proposal)	25 Points
4. Indiana Economic Impact	15
5. Buy Indiana	10
6. Minority (10) and Women Business (10) Subcontractor Commitment	20
Total	100

All proposals will be evaluated using the following approach.

Step 1

In this step proposals will be evaluated only against Criteria 1 to ensure that they adhere to Mandatory Requirements. Any proposals not meeting the Mandatory Requirements will be disqualified.

Step 2

The proposals that meet the Mandatory Requirements will then be scored based on Criteria 2 and 3 ONLY. This scoring will have a maximum possible score of 55 points. All proposals will be ranked on the basis of their combined scores for Criteria 2 and 3 ONLY. This ranking will be used to create a “short list”. Any proposal not making the “short list” will not be considered for any further evaluation.

Step 2 may include one or more rounds of proposal discussions focused on cost and other proposal elements.

Step 3

The short-listed proposals will then be evaluated based on all the entire evaluation criteria outlined in the table above.

If the State conducts additional rounds of discussions and a BAFO round which lead to changes in either the technical or cost proposal for the short listed Respondents, their scores will be recomputed.

The section below describes the different evaluation criteria.

3.2.1 Adherence to Requirements – Pass/Fail

Respondent's passing this category move to Phase 2 and proposal is evaluated for Management Assessment/Quality and Price.

3.2.2 Management Assessment/Quality - 30 Points

3.2.3 Price – 25 Points

3.2.4 Indiana Economic Impact - 15 Points

See Section 2.6 for additional information.

The total number of full time equivalent (FTE – please see Section 1.2 for a definition of FTE's) Indiana resident employees for the Respondent's proposal (prime contractor and subcontractors) will be used to evaluate the Respondent's Indiana Economic Impact. Points will be awarded based on a graduated scale. The Respondent with the most Indiana FTEs will be awarded 15 points. Points will then be awarded to the remaining Respondents proportionately.

3.2.5 Buy Indiana Initiative – 10 Points

Respondents qualifying as an Indiana Company as defined in Section 2.7 will receive 10 points in this category.

3.2.6 Minority (10 points) & Women's Business (10 points) Subcontractor Commitment - (20 Points).

The following formula will be used to determine points to be awarded:

The commitment factor for each proposal will be calculated by multiplying the commitment percentage by one hundred. The RFP score ratio will be determined by dividing the maximum allowable points by the highest commitment factor. The proposal with the highest commitment factor will be given the maximum allowable points. The points awarded to the other proposals will be calculated by multiplying the score ratio by the proposed commitment factor.

Commitment percentage * 100 = commitment factor

Maximum allowable points/highest commitment factor = score ratio

Commitment factor * score ratio = points awarded

The Commissioner of IDOA or his designee will, in the exercise of his sole discretion, determine which proposal(s) offer the best means of servicing the interests of the State. The exercise of this discretion will be final.